

APA Audit Report of Commonwealth IT Governance and VITA Operations a/o 4/7/06, Issued 5/06

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
11	Hire PMD Staff	Authorize & fill vacant full-time positions rather than hiring vendors.	4/07 10/07	Jerry Simonoff	U	Initial Plan 5/06	<p>1) Implement phase 1 reorganization of PMD to increase available staff direct project oversight and consulting hours. (Completed – 5/1/06)</p> <p>2) Fill PMD authorized vacancies. The phase 1 target is 13 FTE against a maximum authorization of 15 MEL, with 10 positions currently filled.</p> <p>3) Due to continuing difficulty in recruiting experienced project managers, initiate an “Open Until Filled” recruiting strategy. (Completed – 5/11/06)</p> <p>4) Implement phase 2 reorganization of PMD (13 FTE) to reduce administrative burden on staff providing direct customer services. Target Date: 1/07</p>
						7/06	<p>Task 1 is complete.</p> <p>Task 2 is partially complete, with 11 of 13 positions filled. Further hiring is now on hold, as volume of projects/procurements-the basis for hrly billings-are thus far below projections. PMD will continue to monitor and report on trends at the ITIB's Oct. meeting.</p>
						9/06	<p>There is no change in status for task 2. As directed, PMD will brief the ITIB Finance & Audit Committee at the Oct. Meeting on ITIM service fee revenues and the impact on PMD staffing. Task 3, recruiting strategy, terminated due to lack of revenue. Task 4 on hold.</p>
						12/06	<p>PMD briefed the ITIB Finance & Audit Committee at the Oct. mg on ITIM Service Fee revenues & the negative impact on PMD staffing. The Committee approved a CIO recommendation to restructure the ITIM Service Fee to address inherent disincentives (to agencies) in the fee structure & improve the revenue stream. The ITIM Service Fee issue was presented to JLARC in Dec. Tasks 2 & 4 remain incomplete pending VITA review of available PMD revenue streams & resolution of ITIM Service Fee constraints. New due date to be provided at the April meeting.</p>

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						3/07	CIO approved hiring of additional PMD staff is underway in order to complete tasks 2 and 4. Applicant pool is not strong, with 1 of 3 vacancies tentatively filled. Anticipated PMD Phase 2 reorganization completion date is now October 2007.
						6/07	Offers have been accepted to fill the remaining two PMD staff vacancies, with new employees scheduled to report in July. Anticipated PMD Phase 2 reorganization completion date remains October 2007.
13	Improve PMD Effectiveness & Efficiency	PMD should examine their admin. tasks & make more efficient & also take an active role monitoring projects & independently verifying & assessing agency self-reported data.	4/07 10/07	Jerry Simonoff	U	Initial Plan 5/06	<p>Two Phase Approach. Phase 1 began on May 1 with reorganization of PMD and includes:</p> <ul style="list-style-type: none"> Establishment of PMO focused exclusively on project consulting & oversight. Assignment of PM Specialists within PMO to oversee specific Secretariat projects, including on-site observation & coordination with project staff, stakeholders and agency leadership. Continued monthly PMD Program Reviews initiated in Jan. 06, to ensure that PMD maintains an enterprise perspective (emphasizing enterprise & collaboration opportunities) on projects under oversight. Implementation of a formal project oversight training & mentoring program for newly hired or assigned staff. Training current staff on oversight methodologies dev. in item 14 below. Establishment of IT Investment Management Office focused on early identification of agency IT investment needs. <p>Target Completion of Phase 1 is 11/06. Phase 2 includes the establishment of a Management Support Office in PMD to relieve PMO staff of administrative responsibilities. Target date for completion of Phase 2 is 1/07.</p>
						7/06	PMO & ITIM Offices established. Monthly PMD program reviews continue. PM specialist assignment to oversee specific Secretariat projects is in place. Lower than

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							<p>projected hourly billings for PMO consulting have put on hold plans to bring on staff to expand contact hours. Continued funding constraints may affect planned Phase 2 corrective actions. PMD will research underlying causes of reduced major project submissions & continue to track trend data for 1QFY07, as the basis for recommending appropriate changes to corrective actions at the Oct ITIB meeting.</p> <p>9/06 Continued funding constraints will impact planned Phase 2 corrective actions.</p> <p>12/06 Funding constraints continue to impact planned Phase 2 corrective actions. New due date to be provided at the April meeting.</p> <p>3/07 CIO approved hiring of additional PMD staff is underway in order to complete Phase 2 reorganization. Applicant pool is not strong, with 1 of 3 vacancies tentatively filled. Anticipated Phase 2 completion is now October 2007.</p> <p>6/07 Offers have been accepted to fill the remaining two PMD staff vacancies, with new employees scheduled to report in July. Anticipated PMD Phase 2 reorganization completion date remains October 2007.</p>
18	Adopt Uniform Infrastructure Procedure	Service Mgmt. Org. should adopt uniform procedures that apply to all aspects of VITA's infrastructure.	6/08	Fred Duball	U	Initial Plan 5/06	<p>A complete plan for establishing consistent, ITIL conformant procedures manual by 8/06. Existing processes will be compiled into a centralized repository by 10/06. Starting in 3/07, as services are transformed, ITIL conformant processes are deployed with all procedures ITIL conformant by 6/08.</p> <p>7/06 The project started on July 1.</p> <p>9/06 Executing to plan, on track to meet milestones. Workshops have been scheduled to develop procedures.</p>

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						12/06	Many Critical Interim Operational Procedures have been identified & implemented, while others remain under development & are on schedule to complete. Executing to plan, on track to meet milestones. Phase 1 ITIL Project (Change, Configuration, Release) Workshops have been completed. Phase 1 Design phase pending final reviews. Staff has received ITIL training.
						3/07	Running one month behind schedule on developing procedures. Priority is on security procedures. Project the procedures manual being back on schedule in August 07. Phase 1 ITIL project (Change, Configuration, Release) scheduled to deploy to IT Infrastructure staff from April to June. Agency personnel deployments start in July.
						6/07	Phase 1 of the ITIL project (Change, Configuration, Release) has been delayed to complete the Acceptance Test Plan pre-live testing and adopt a phased rollout approach for ITP Infrastructure staff to minimize agency impact. The phased rollout to ITP infrastructure staff will occur from July to August. Agency personnel deployments are projected to start in August. This Phase 1 delay should not impact the Phase 2 rollout (Incident, Problem, Capacity, and Availability) which is scheduled to start in August 07. The infrastructure aspects of the procedures manual project will be back on schedule by August 07. Populating the procedures manual with content is significantly behind schedule, but should be complete by 6/08.

APA Audit Report Review of Information Security in the Commonwealth of Virginia, Issued 12/06
 SJR 51

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
3	Supplement SEC 501	The CIO & ITIB should consider supplementing the Commonwealth's SEC 501 standard with the additional processes identified in this report.	4/07	Peggy Ward	C	Initial Plan 12/06	Review the specific 15 additional processes listed in the SJR51 Report & develop a plan stating the optimal means of inclusion and timing. Review will be done in conjunction with annual review & revision of SEC500 IT Security Policy, SEC501 IT Security Standard, & SEC502 IT Security Audit Standard.
						3/07	Review of additional processes is progressing to complete a plan by 4/07.
						4/07	Plan completed.

Federal Tax Information Safeguards (TAX) & Network Perimeter (NP) Reports, Issued 8/06

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
Tax 2	Require & Retain Signed Disclosure Statements	Document and implement procedure to keep signed statements on file for persons authorized to handle Federal tax info including employees and contractors.	12/06 5/07	Jim Roberts	C	Initial Plan 9/06	Document & implement the procedure for keeping signed statements (DIT Employee Code of Ethics/Confidentiality & Unauthorized Disclosure of Tax Information) on file for all personnel who are authorized to handle Federal tax information, including both employees & contractors.
						12/06	Signed statements are now being filed for employees and contractors, and being maintained by VITA, standard forms have been developed, and procedures document completed. Final approval of all is pending and all that remains to be completed by Tax Commissioner's Office.
						3/07	Training has been completed and forms have been signed for this year for Unix Systems, Oracle Database and Operations. TAX has been <u>repeatedly</u> asked to send a soft copy of the MOU so that the new forms can be implemented and groups of employees eliminated from the requirement per a meeting that was held on October 13, 2006.
						6/07	A copy of the agreement was executed with Tax Department in May, and the procedures have been implemented.

Federal Tax Information Safeguards (TAX) & Network Perimeter (NP) Reports, Issued 8/06

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
NP 1	Enable Router and Firewall Logging	VITA should comply with SEC501-01 and SEC2001-01.1 by enabling logging on network perimeter routers and firewalls throughout the VITA enterprise.	12/06 6/07	Fred Duball	C	Initial Plan 9/06	<p>1.) Engage Northrop Grumman Continuing Operations and initiate implementation.</p> <p>2.) Monitor completion status thru weekly operations meetings.</p>
						12/06	Many potential operational issues exist with implementation. NG will evaluate those in-scope agencies with internet connectivity by 6/30/07. For large agencies who are not logging but no issues are discovered, NG will implement logging by 6/30. For all others & large agencies with issues, plans will be developed for remediation or as an input to the transformation schedule. It is expected that this effort will capture 90% of the in-scope agencies. Status will be monitored thru the weekly operations meetings.
						3/07	Over 94% of in-scope agencies responded to a survey asking for information on Firewall Logging. Of those responding, 33 agencies, 45.2%, had Firewall logging available and in use. All large agencies are logging at their firewall.
						6/07	Firewall logging has been enabled where possible and at all large infrastructure locations. All remaining infrastructure locations will be protected via transformation activities.

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IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
NP 2	Install IDS on Network Perimeters	SEC501-01 includes requirements for intrusion detection. SEC2001-01.1 requires that there be a process to identify and evaluate threats. One of four VITA network segments reviewed (DGIF) did not utilize intrusion detection.	2/07 5/07	Fred Duball	C	Initial Plan 9/06	Begin gap analysis process and utilize for agency recommendations.
						12/06	NG will request any existing data owned by the Security group. Any missing data will be collected via the SLD with a due date of 2/07. It is expected that this effort will capture 90% of the in-scope agencies. The results of this data, correlated with agency identified level of risk will be used as an input to transformation order. (Note, it is only one of many things that go into transformation scheduling)
						3/07	Over 94% of in-scope agencies responded to a survey asking for information on IDS. Of those responding, 23 agencies, 31.5%, had IDS available. Those 23 agencies will be contacted to verify usage by 5/07. The remaining agencies will be referred to transformation order, see above.
						6/07	A gap analysis has been completed and available for use.

Federal Tax Information Safeguards (TAX) & Network Perimeter (NP) Reports, Issued 8/06

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
NP 3	Provide a Consistent Tool for Monitoring Internet Use	VITA does not have a single or consistent tool for monitoring employee Internet use.	2/07 5/07	Fred Duball	C	Initial Plan 9/06	Begin gap analysis process and utilize for transformation prioritization.
						12/06	NG will request any existing data owned by the Security group, focusing on COTs packages. Any missing data will be collected via the SLD with a due date of 2/07. It is expected that this effort will capture 90% of the in-scope agencies. The results of this data, correlated with agency identified level of risk will be used as an input to transformation order. (Note, it is only one of many things that go into transformation scheduling)
						3/07	Over 94% of in-scope agencies responded to a survey asking for information on Content Monitoring. Of those responding, 31 agencies, 42.5%, had COTS Content Monitoring software available. Those 31 agencies will be contacted to verify usage by 5/07. The remaining agencies will be referred to transformation order, see above.
						6/07	A gap analysis was completed and available for transformation prioritization.

Federal Tax Information Safeguards (TAX) & Network Perimeter (NP) Reports, Issued 8/06

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
NP 4	Revise VITA Central Policies to Include All of VITA	VITA policies related to network monitoring are inconsistent and do not address the VITA enterprise as a whole.	5/07 7/07	Peggy Ward	U	Initial Plan 9/06	Revise network perimeter policies and procedures to be consistent across the VITA enterprise.
						12/06	An internal review of VITA policies related to network monitoring is taking place 1/07 as part of an internal assessment.
						3/07	Internal review of VITA policies is complete. Developing a plan to write or revise policies as needed.
						6/07	VITA Acceptable Use of Electronic Communications, PC/LAN Policy, & Firewall VPN Policy have been revised, approved by PPRAT & are pending publication.

Semiannual Report of Internal control of Weaknesses Identified, Issued 1/07

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
1a.	Enhance Electronic Notification Procedures for Payroll Changes	Establish a documented procedure regarding payroll changes requiring that HR staff send an email notification to the Payroll Administrator stating the payroll change.	1/07 4/07	Jim Roberts	C	Initial Plan 1/07 3/07	Document Electronic Notification Procedures for payroll changes. Payroll Transaction Log is continuously updated and backed up on a shared drive in addition to electronic notification to payroll via e-mail. Written procedures are under internal review and will be posted April, 2007.
						6/07	Complete.
2.	Enhance Separation Procedure & Awareness	Revise separation policy & procedure, clearly defining supervisor responsibilities, means of notification of status changes, & requiring follow up on receipt of the check out list.	1/07 4/07	Jim Roberts	C	Initial Plan 1/07 3/07	Revise the separation policy & procedure to clearly define supervisor responsibilities, means of notification of status changes, & require follow up on receipt of the check out list. Separation Policy and procedure changes have been made and submitted for internal review along with a revised separation checklist in March, 2007. Final posting of the policy and procedure is anticipated in April, 2007.
						6/07	Completed with revised policy and checklist posted.

Semiannual Report of Internal control of Weaknesses Identified, Issued 1/07

IAS Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
3.	Require that Sensitive Information be Saved to Network Drives	Establish a VITA policy requiring that sensitive information be saved to network drives & not to individual computers.	4/07 7/07	Peggy Ward	U	Initial Plan 1/07	Policy will be established.
						3/07	Completed review of all internal VITA policies. This requirement will be included in new or revised policy.
						6/07	This requirement has been included in the SEC501 Security Standard revisions, pending ITIB approval & included in the VITA PC/LAN Policy, pending publication.